



Bonneville Power Administration



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Federal Columbia River Power System

Columbia River Basin & BPA Service Area

WHAT IS BPA?

- Self-funding federal agency within DOE
- Markets power at cost from 31 federal dams and 1 nuclear plant – 45% of electricity used in PNW
- Markets transmission services – owns 75% (15,000 miles) of the high-voltage lines in PNW
- Protects, mitigates & enhances fish & wildlife in the Columbia River Basin
- 300,000 square mile service area – includes WA, OR, ID, and Western MT
- \$3.5 billion in annual revenues
- 3,200 employees
- Headquarters in Portland, OR
- Established in 1937



Organization Chart

Bonneville Power Administration Organizational Chart

May 1, 2005



Records Management and IT

- Records Management is located in Information Technology, under the Chief Information Officer's office.
- The Records Management Team is comprised of the Records Officer and one Record Specialist. We have support from 11 coordinators and 70 liaisons across the agency.
- BPA has a fantastic in-house IT resource that works closely with Records Management.
- BPA's Records Management program is in tip top shape. We have 22 chapters in our records manual, that represent the functions across the agency.
- BPA has a total of 1265 file codes, all of which are approved, with a handful pending NARA's approval.

How it all began

- BPA's Chief Information Officer tasked a cross-agency team with researching and recommending an Electronic Records Management System (ERMS) for all of BPA.
- A 24-member team of technical and administrative staff representing the three business units was formed in November 2003. General Counsel, Audit, and IT were active participants.
- 90-minute meetings were held bi-weekly until May 2004.
- Minutes were taken at each meeting and approved at the following meeting.
- Team members signed in. If they could not attend, they sent an alternate to ensure representation.

Team Members...

- Developed a Corporate Project Charter and Project Plan.
- Became familiar with the requirements for an Electronic Records Management System.
- Addressed business line requirements.
- Developed a score card for ranking and rating a software product.
- Decided early on that if an in-house system met 80% of the requirements based on DoD 5015.2 Standard and DOE's Standard 4001-2000 that we would recommend it.

Req ID	USER SCORE CARD	Mandatory (M)	3-(M, NMMH) Fully Met	Comments
		Non-Mandatory Must Have (NMMH)	1-(NM) Met	
		Non-Mandatory (N)	0-Not Met	
PART ONE - IDENTIFYING AND FILING RECORDS				
3.1	IMPORT RECORD- RMAs shall provide users with the capability to select and assign a file code to a record.	M		
3.2	RMAs shall assign a unique computer-generated record identifier to each record they manage regardless of where the record is stored.	M		
3.5	RMAs shall (for all records) capture or provide the user with the capability to assign, as appropriate, the following minimum profile data (metadata) when the record is filed: Subject. Date Filed. Addressee(s). Media Type. Format. Location of Record. Document Creation Date. Author or Originator. Originating Organization. Vital Record Indicator.	M		
3.6	EDITING METADATA - RMAs shall provide the user with the capability to edit the metadata listed above prior to filing the record except for data captured electronically from e-mail, default data supplied by the RMA (such as Office of Record), or other automated systems.	M		
5.1	RMAs shall provide or interface to a repository for storing electronic records and prevent unauthorized access to the repository.	M		
3.18	VIEW METADATA - RMAs shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when accessed, read, copied, or transferred. RMAs shall not permit this data to be edited.	M		
5.3	RMAs shall automatically date a document when it is saved as a record and preserve the date of receipt on records received. This date shall remain constant, without being changed when accessed, read, copied, or transferred. RMAs shall not permit this data to be edited.	M		
3.19	LINKING METADATA - RMAs shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location.	M		
3.8	PRINT METADATA - RMAs shall provide the capability to output for viewing, saving, or printing the record profile information (metadata) identified above.	M		
3.4	RMAs shall not permit modification of the record identifier once assigned.	M		
3.6	EDITING METADATA - RMAs shall provide the user with the capability to edit the metadata listed above prior to filing the record except for data captured electronically from e-mail, default data supplied by the RMA (such as Office of Record), or other automated systems.	M		
6.3	RMAs shall be capable of implementing cutoff instructions for scheduled and unscheduled records.	M		

The Team Strategy

- The Transmission Business Line was using Microsoft SharePoint 1.0 to manage their files and documents.
- It made good business sense to review the in-house system currently being used.
- In the meantime, SharePoint 2.0 was released with increased functionality. IT staff assessed it and found it would meet the criteria of an ERMS with minimal customization.
- SharePoint 2.0 was demonstrated, then the team used the score card to rate the system. SharePoint 2.0 met over 96% of the requirements.

Next Step

- The team prepared a report and recommended to the CIO that SharePoint 2.0 be adopted for managing electronic records and documents across the three business units of BPA.
- The CIO approved the recommendation on June 4, 2004 and said go forth with implementation.
- The Implementation Team was formed on July 14, 2004 comprising of three parts: Functional, Hardware Infrastructure and Software Infrastructure.
- Another project charter and project plan for this phase, with milestones and deliverables, was prepared by the team.

Functional Team's Role

- Communicate and advertise across the agency that ERMS was coming!
- Develop policies and procedures
- Plan and deliver Records Management and Technical training
- Work with liaisons on their organization file outlines and ERMS setups

U.S. DEPARTMENT OF ENERGY
BONNEVILLE POWER ADMINISTRATION

Electronic Form
Approved by Forms
Mgmt. - 02/11/2005

ORGANIZATION FILE OUTLINE

Corporate & Executive Operations (KD)

October 15, 2004

For Records Mgmt. Staff Input only.

Approved by Records Management

List the documents your organization has and indicate (x) for either Record or for Non Record.

<http://webip1/corporate/di/Records/recmanual/>

For reference on File Codes and Retention Period in the BPA Records Manual please click on the hyperlink above.

FILE CODE	RECORD*	NON RECORD*	RECORDS TITLE	RETENTION PERIOD**	NOTES: May Include Custodian, Location and Medium (Paper, Electronic, Other).
BU-11-16	X		FTE Planning Material relating to BPA's full time equivalent (FTE) planning and staffing and the DOE's Manpower submission.	Retain in office while Active, send to Records Storage for 1 year, and then destroy	
BU-11-16 (a)	X		Material relating to requisite internal BPA formulation of program and organizational levels of FTE numbers and narrative justifications.	Retain in office while Active, send to Records Storage for 1 year, and then destroy	
BU-11-16 (b)	X		Documentation of preparation, analysis, and approval of FTE proposals.	Retain in office while Active, send to Records Storage for 1 year, and then destroy	
BU-11-16 (c)	X		Incoming DOE requests and BPA responses to satisfy staffing level dated requirements.	Retain in office while Active, send to Records Storage for 1 year, and then destroy	
BU-13-16	X		Reception and Representation Fund	Destroy when 2 years old	
FI-18	X		Time and Attendance Reporting – records used to input time & attendance data into a payroll system.	Destroy when 6 years old	
FI-18-11	X		Time and Attendance Supporting Documents (leave slips)	Retain in office for 3 years and then destroy	
MN-11(b)	X		Organization- organization charts	Retain in office while Active + 5 years, send to Records Storage when 20 years old. NARA: Permanent	

** Retention Periods (How long the document needs to be kept.) Refer to BPA Records Manual.

*RECORD

Recorded information, regardless of medium or characteristics, that has been either created or received by an organization as evidence of its functions, policies or activities.

*NON RECORD

Material of short term interest with no documentary or evidentiary value. Copies of documents, retained for reference purposes only, for which another organization is Office of Record.

File Code: SS-15 (a)

Retention: JMS- 2 years after supersession

Hardware & Software Infrastructure Team's Role

- This team worked tirelessly for 6 months to :
 - Develop server configurations
 - Develop a common look and feel
 - Purchase and install servers
 - Install operating system
 - Perform Load testing
 - Perform Stress testing
 - Install Service Packs
 - Implement Backup
 - DEPLOY!

Training

- Training was divided into two parts:
 - Records Management training – about 75 minutes
 - ERMS training – about 90 minutes
- The two-part, three-hour training session is mandatory before a user can gain access to ERMS.
- Another requirement is that the organization must have a current and approved organization file outline that identifies all their official records.
- The liaison must work with the manager and workgroup to identify who in the workgroup is going to use ERMS, what file codes/record libraries they need set up and what security needs to be applied. This information is captured on the set up form.

U.S. DEPARTMENT OF ENERGY
BONNEVILLE POWER ADMINISTRATION
ERMS SETUP FOR ORGANIZATIONS

Electronic Form Approved
by Forms Mgmt.
02/23/2005

For Records Mgmt Staff Input only.

Approve by Records Management

Instructions:

1. Please complete this form by **identifying the file codes you want "set-up" for your workgroup by either:** Highlighting the file codes on your organization file outline [\rfile\enterprise\records_support\](#) or list the file codes you want "set-up" in the Notes section, block 11 of this form.

2. If you are requesting access for Contributor/Reader of time and leave documents into the FI-18 and FI-18-11 libraries in the Official workspace area of the ERMS, please attach the completed [1400_23e.dot](#)

3. Email this form along with your organization file outline to both [SharePoint Admin](#) and [Records Management](#)

1. Date of Request	2. Name of Requester/Manager	3. ORG Code	4. Telephone Number	5. Liaison
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6. ERMS Contributors: (Name, ORG Code and BUD LOGON ID)

6A. Employee/Contractor Name	6B. ORG Code	6C. BUD Logon ID

7. List any additional properties that you would like to have added to your **Official Record Profile:**

8. Identify required security needed for your **Official Files:**

9. List properties you would like to have added to your **Work Docs:**

10. Identify required security needed for your **Work Docs:**

11. Notes

The ERMS.....

- Is an easy to use, web-based application
- Builds upon the SharePoint Portal Server technology utilizing ASP.NET and SQL Server
- Is a robust system with integrated single sign-on security
- Has built-in redundancy with 3 front end web servers and 2 back end SQL databases
- Was created using in-house technical and contract staff

So where are we today?

- Upper Management is supportive of ERMS. The Chief Operating Officer sent a memorandum to program heads emphasizing the importance of using the electronic records keeping system.
- Clients are happy with ERMS as it is user friendly and has the look and feel familiar to them.
- 800 people have been trained in ERMS.
- Records Management and ERMS training will continue until December 2005. After that, training will be scheduled on an as-needed basis.
- Monthly focus meetings are held for coordinators and liaisons.
- Work Docs – the document management component of the SharePoint Portal - is very popular, especially in managing projects.
- We have 51,800 records in ERMS and about 50,000 documents in Work Docs. These numbers are growing substantially every day!

Lessons Learned

- You must have buy-in and support from UPPER MANAGEMENT.
- Get advice from the experts! NARA's Targeted Assistance Program is a fabulous resource.
- You don't have to know everything. You just have to understand the questions and know where to get the answers.
- Involve those who will be using the system from the onset.
- Be prepared to train IT staff in Records Management processes.
- Be flexible. Remember things move slower when more people are involved. Be realistic with time frames and due dates.
- Don't let team members mess with your goals or deadlines.

Lessons Learned, contd.

- Plan ahead for dissenters. A word to the wise. Take them aside, work with them to find out their issues and concerns. In the long run, it will be time well spent.
- Get your Records Management house in order before embarking on an ERMS. Approved file series and retention schedules are a must.
- Don't be afraid of being placed with IT or in the CIO's office.
- Before taking the hands-on training, it's essential that users have basic browser skills.
- Have user documentation available prior to implementation.
- Ensure that you have the resources needed after implementation.

Lessons Learned, contd.

- Take baby steps. Pilots are a great way to start, then build from there.
- Be open to learning IT terminology.
- We records people have to get used to reading more, networking more, attending conferences and seminars to soak in IT business practices. Talk with peers and experts and you'll be surprised at the acronyms that come out of your mouth like some alien language.